

Rec'd PCT/PTO 20 JAN 2005

Practitioner's Docket No. \_\_\_\_\_

PATENT

10/500947

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

☒ In re application of:

Application No.:

Group No.:

Filed:

Examiner:

For: Alan John Fawcett and Glen Lawrence Wright "A Die Plate For A Foil Stamping Machine"

☐ \*Patent No.:

Issue Date:

\*NOTE: Insert name(s) of inventor(s) and title also for patent Where statement is with respect to a maintenance fee payment, also insert application number and filing date, and add Box M. Fee to address.

## STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(e-f) and 1.27(b-d))

With respect to the invention described in

☐ the specification filed herewith.☐ application no. \_\_\_\_\_ filed \_\_\_\_\_☒ PCT International Application No. PCT/AU03/00012 filed 7 January 2003☐ patent no. \_\_\_\_\_ issued \_\_\_\_\_

## I. IDENTIFICATION AND RIGHTS AS A SMALL ENTITY

I hereby state that I am

(complete either (a), (b), (c) or (d) below)

(a) Independent Inventor

☒ a below named independent inventor, and that I qualify as an independent inventor, as defined in 37 CFR 1.9(c), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office.

(b) Noninventor Supporting a Claim by Another

☐ making this statement to support a claim by

for a small entity status for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code. I hereby state that I would qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, if I had made the above identified invention.

(c) Small Business Concern

check  
one /☐ the owner of the small business concern identified below:

☐ an official of the small business concern empowered to act on behalf of the concern identified below:

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Name of Concern \_\_\_\_\_  
 Address of Concern \_\_\_\_\_

\_\_\_\_\_ and  
 that the above identified small business concern qualifies as a small business concern, as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

## (d) Non-Profit Organization

☐ an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization \_\_\_\_\_  
 Address of Organization \_\_\_\_\_

## TYPE OF ORGANIZATION

- ☐ University or Other Institution of Higher Education  
☐ Tax Exempt Under Internal Revenue Service Code (26 USC 501(a) and 501(c) (3))  
☐ Nonprofit Scientific or Educational Under Statute of State of the United States of America  
 (Name of State \_\_\_\_\_)  
 (Citation of Statute \_\_\_\_\_)  
☐ Would Qualify as Tax Exempt Under Internal Revenue Service Code (26 USC 501(a) and 501(c) (3)), if Located in the United States of America  
☐ Would Qualify as Nonprofit Scientific or Educational Under Statute of State of the United States of America, if Located in the United States of America  
 (Name of State \_\_\_\_\_)  
 (Citation of Statute \_\_\_\_\_)

and that the nonprofit organization identified above qualifies as a nonprofit organization, as defined in 37 CFR 1.9(e), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code.

## II. OWNERSHIP OF INVENTION BY DECLARANT

I hereby state that rights under contract or law remain with and/or have been conveyed to the above identified

☒ person  
 (item (a) or (b) above)

☐ concern  
 (item (c) above)

☐ organization  
 (item (d) above)

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EXCEPT, that if the rights held are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held (1) by any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, (2) any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or (3) a nonprofit organization under 37 CFR 1.9(e).

- ☒ no such person, concern, or organization  
☐ person, concerns or organizations listed below\*

\*NOTE: Separate statements are required from each named person, concern or organization having rights to the invention as to their status as small entities. (37 CFR 1.27)

Full Name

Address

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

Full Name

Address

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

### III. ACKNOWLEDGEMENT OF DUTY TO NOTIFY PTO OF STATUS CHANGE

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

### IV. DECLARATION

(check the following item, if desired)

NOTE: The following verification statement need not be made in accordance with the rules published on October 10, 1997, 62 Fed. Reg. 52131, effective December 1, 1997.

NOTE: AThe presentation to the Office (whether by signing, filing, submitting, or later advocating) of any paper by a party, whether a practitioner or non-practitioner, constitutes a certification under ' 10.18(b) of this chapter. Violations of ' 10.18(b)(2) of this chapter by a party, whether a practitioner or non-practitioner, may result in the imposition of sanctions under ' 10.18(c) of this chapter. Any practitioner violating ' 10.18(b) may also be subject to disciplinary action. See ' 10.18(d) and 10.23(c)(15). @ 37 CFR 1.4(d)(2).

- ☒ I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

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## V. SIGNATURES

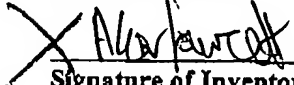
(complete only (e) or (f) below)

(e)

NOTE: All inventors must sign the statement.

Alan John Fawcett

Name of Inventor

  
Signature of InventorDate: Glen Lawrence Wright

Name of Inventor

  
Signature of InventorDate: \_\_\_\_\_  
Signature of Inventor

Date: \_\_\_\_\_

(add lines for any additional inventors who must sign)

or

(f)

NOTE: The title of the person signing on behalf of a concern or nonprofit organization should be specified.

Name of Person Signing

Title of Person

(if signing on behalf of a concern or non-profit organization)

Address of Person Signing

SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_

<b>POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM</b>	Application Number	PCT/AU03/00012 (10/500,947)
	Filing Date	7 January 2003
	First Named Inventor	Alan John Fawcett et al
	Title	A Die Plate For A Foil Stamping Machine
	Group Art Unit	
	Examiner Name	
	Attorney Docket Number	086310-000000US

I hereby appoint

Townsend and Townsend and Crew LLP

☒ Practitioners associated with Customer Number

20350

OR

☐ Practitioner(s) named below:

Name	Registration Number

As my/our attorney(s) or agents(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒ The address associated with the above-mentioned Customer Number

OR

☐ The address associated with Customer Number

OR

<input type="checkbox"/> Firm or Individual Name					
Address					
City		State		ZIP	
Country					
Telephone		Fax			

I am the:

☒ Applicant/Inventor.

☐ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

**SIGNATURE of Applicant or Assignee of Record**

Name & Title	Alan John Fawcett		
Signature			
Date	28/1/04	Telephone	
Date Month Year			

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below \*.

☐ \* Total of \_\_\_\_\_ forms are submitted.

S&F Ref:579860US

10/500947

# DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **DIE PLATE FOR A FOIL STAMPING MACHINE** the specification of which was filed on International Filing Date January 7, 2003 as International Application No. PCT/AU03/00012, U.S. Application No. 10/500,947 and was amended on \_\_\_\_\_ (if applicable).

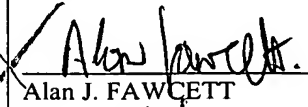
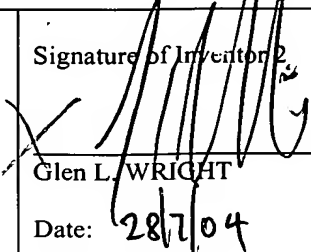
I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

## Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119
Australia ✓	PR9859 ✓	January 7, 2002 ✓	Yes
Australia ✓	PS1847 ✓	April 19, 2002 ✓	Yes
PCT ✓	PCT/AU03/00012 ✓	January 7, 2003 ✓	Yes

1-00 Full Name of Inventor 1:	Last Name: <b>FAWCETT</b>	First Name: <b>ALAN</b>	Middle Name or Initial: <b>J</b>
Residence & Citizenship:	City: <b>Arcadia, New South Wales</b> <i>Aux</i>	State/Foreign Country: <b>Australia</b>	Country of Citizenship: <b>Australia</b> ✓
Post Office Address:	Post Office Address: <b>3 Calabash Road</b>	City: <b>Arcadia, New South Wales</b>	State/Country: <b>Australia</b> Postal Code: <b>2159</b>
2-00 Full Name of Inventor 2:	Last Name: <b>WRIGHT</b>	First Name: <b>GLEN</b>	Middle Name or Initial: <b>L</b>
Residence & Citizenship:	City: <b>Arcadia, New South Wales</b> <i>Aux</i>	State/Foreign Country: <b>Australia</b>	Country of Citizenship: <b>Australia</b> ✓
Post Office Address:	Post Office Address: <b>3 Calabash Road</b>	City: <b>Arcadia, New South Wales</b>	State/Country: <b>Australia</b> Postal Code: <b>2159</b>

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1  Alan J. FAWCETT Date: <b>28/7/04</b>	Signature of Inventor 2  Glen L. WRIGHT Date: <b>28/7/04</b>
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10/500947

PTO/SB/81 (09-03)

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	<b>Filing Date</b>	7 January 2003
	<b>First Named Inventor</b>	Alan John Fawcett et al
	<b>Title</b>	A Die Plate For A Foil Stamping Machine
	<b>Group Art Unit</b>	
	<b>Examiner Name</b>	
	<b>Attorney Docket Number</b>	086310-000000US

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OR

☐ The address associated with Customer Number

OR

<input type="checkbox"/> Firm or Individual Name					
Address					
City		State		ZIP	
Country					
Telephone		Fax			

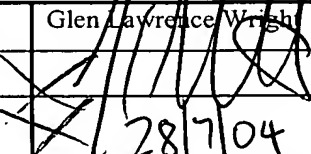
I am the:

☒ Applicant/Inventor.☐ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

2-00 Name & Title Glen Lawrence Wright

Signature 

Date 2/28/04

Date Month Year

Telephone

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below \*.

☐ \* Total of \_\_\_\_\_ forms are submitted.

S&amp;F Ref: 579860US